Indiana Health Coverage Programs

Standard Companion Guide Transaction Information

Instructions related to Transactions based on ASC X12 Implementation Guides, version 005010

Acknowledgments: TA1 and 999

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Preface

The Health Insurance Portability and Accountability Act (HIPAA) adopted standard transaction sets for Electronic Data Interchange (EDI) of health care data. Covered entities must adhere to the content and format requirements as defined in the ASC X12N Implementation Guides.

The Indiana Health Coverage Programs (IHCP) has developed this document to serve as a companion document to provide guidance and clarification as it applies to the IHCP. It is not intended to modify, contradict or reinterpret the rules established by the ASC X12N Implementation Guides.

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1 INTRODUCTION

1.1 Overview

The 5010 Companion Guide – Electronic Data Interchange (EDI) TA1-999 Acknowledgments contain information specific to the 999 Functional Acknowledgment, and the EDI TA1 Interchange Acknowledgment Outbound transactions. These reports must be downloaded and reviewed to verify acceptance or rejection of EDI data.

1.2 TA1 Interchange Acknowledgment Outbound

The Interchange or TA1 Acknowledgment is a means of replying to an interchange or transmission that has been sent. The TA1 verifies the envelope only. A TA1 Interchange acknowledgment is returned only in the event there are envelope errors. Encompassed in the TA1 are the interchange control number, interchange date and time, interchange acknowledgment code, and the interchange note code.

1.3 999 Functional Acknowledgement

The 999 Functional Acknowledgement is returned to confirm that a file was received and indicate if the submitted transactions passed standard level syntax and structure editing. The 999 includes information about whether the transaction had errors. Trading Partners are responsible for retrieving the 999 response files to determine the accepted or rejection status of the transactions.

2 TA1 INTERCHANGE ACKNOWLEDGMENT

TA1 or Interchange Acknowledgements validate the envelopes only. Indiana Health Coverage Programs (IHCP) will generate an Interchange acknowledgment only in the event there are envelope errors. IHCP will not generate TA1 acknowledgements for accepted envelopes. IHCP's method for creating TA1 acknowledgements is to run data through a compliance map. The compliance map is defined to validate the EDI data against the complete HIPAA standard transaction set definition.

If the ISA or IEA envelope contain error(s), the entire ISA*IEA is rejected. If the GS or GE envelope contain error(s) the entire GS*GE is rejected.

Example TA1 Interchange Acknowledgment

This example illustrates an Interchange rejected due to an invalid Usage Indicator (ISA15):

```
ISA*00*          *00*          *ZZ*IHCP           *ZZ*TPID
*060114*1321*^*00501*000000001*0*P*:~

TA1*000000001*060114*1321*R*020~

IEA*1*000000001~
```

The following tables define the data elements of the TA1 Interchange Acknowledgment.

Table 2.1

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
TA101	R	Interchange Control Number	This is the interchange control number of the original interchange to which this TA1 is reporting.
TA102	R	Interchange Date	This is the date of the original interchange to which this TA1 is reporting. (YYMMDD)
TA103	R	Interchange Time	This is the time of the original interchange to which this TA1 is reporting. (HHMM)
TA104	R	Interchange Acknowledgment Code	The only value used is 'R', indicating that ISA, IEA, GS/GE interchange had critical errors and the exchange was not accepted. Correct error and resend.
TA105	R	Interchange Note Code	Code indicating the error found processing the interchange control structure. See table 2.2 for possible error codes and descriptions.

Table 2.2

TA105 Code	Code Description	Notes/Comments
001	The Interchange Control Number in the header and trailer do not match. Use the value from the header in the acknowledgment.	The value in the ISA13 does not match the IEA02. The TA101 reports the interchange control number of the Interchange in error. The ISA13 and IEA02 must be identical.
004	The Segment Terminator is invalid	When IEA segment is missing.
005	Invalid Interchange ID qualifier for sender	The value in ISA05 is not a valid ID qualifier. IHCP expects 'ZZ'.
006	Invalid Interchange Sender ID	The Trading Partner / Submitter ID submitted in ISA06 is not enrolled with the File Exchange User ID used to submit the file to IHCP.
007	Invalid Interchange ID Qualifier for receiver	The value in ISA07 is not a valid ID qualifier. IHCP expects 'ZZ'.

TA105 Code	Code Description	Notes/Comments
008	Invalid Interchange Receiver ID	The value in ISA08 is not valid or blank. IHCP expects 'IHCP'.
010	Invalid Authorization Information Qualifier value	The value in ISA01 is not a valid ID qualifier. IHCP expects '00'.
011	Invalid Authorization Information value	The Trading Partner / Submitter ID submitted in ISA06 is either not valid or not enrolled for transaction.
012	Invalid Security Information Qualifier value	The value in ISA03 is not a valid ID qualifier. IHCP expects '00'.
014	Invalid Interchange Date value	The date value in ISA09 is in invalid format. The expected format is YYMMDD.
015	Invalid Interchange Time value	The time value in ISA10 is in invalid format. The expected format is HHMM.
017	Invalid Interchange Version ID value	The value in ISA12 is invalid. IHCP expects the current HIPAA version. IE: 00501.
018	Invalid Interchange Control Number	The value in ISA13 is either invalid or blank. Must be numeric. Must not be more than nine characters. Must be greater than zero.
019	Invalid Acknowledgment Requested value	The value in ISA14 is not a valid value.
020	Invalid Test Indicator value	The value in ISA15 is not a valid value. IHCP expects 'P' for the Production environment and 'T' for the Test environment.
021	Invalid Number of Included Group value	The value in IEA01 must equal the number of transaction sets in file.
024	Invalid Interchange Content	Invalid delimiters. When any ISA field is not a valid length. When no ISA segment is present. When a non-X12 file is submitted. When multiple ISA segments are submitted in one file. IHCP expects one ISA segment per file.
025	Duplicate Interchange Control Number	The Interchange control number submitted in ISA13 is a duplicate of a previously submitted Interchange control number.
027	Invalid Component Element Separator	The value in ISA16 is invalid.

3 999 FUNCTIONAL ACKNOWLEDGMENT

The following tables define the data elements of the 999 Functional Acknowledgment.

Transaction Set Header

Segment ID	ST
Loop	N/A
Usage	Required
Segment Notes	
Example	ST*999*54321*005010X231~

Element ID (ST01 – ST03)

Table 3.1

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
ST01	R	Transaction Set Identifier Code **999** – Implementation Acknowledgment	
ST02	R	Transaction Set Control Number	This number is assigned locally and matches the value in the corresponding SE segment.
ST03	R	Implementation Convention Reference	This field contains the same value as the data element GS08.

Functional Group Response Header

Segment ID	AK1
Loop	N/A
Usage	Required
Segment Notes	This segment responds to the functional group information in the interchange envelope.
Example	AK1*HC*8215*005010X222A1~

Element ID (AK101-AK103)

Table 3.2

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
AK101	R	Functional Identifier Code HC – Health Care Claim (837) HS – Eligibility, Coverage or Benefit Inquiry (270) HR – Health Care Claim Status Request (276) HI – Health Care Services Review Information (278)	This is only a list of identifier codes used for 999s generated by the IHCP in response to inbound transactions.
AK102	R	Group Control Number	This data element contains the value from the GS06 data element from the GS segment of the original file being acknowledged.
AK103	R	Version/Release/Industry Identifier Code	This is the value in GS08 from the functional group to which this 999 transaction set is responding.

Transaction Set Response Header

Segment ID	AK2
Loop	AK2
Usage	Situational
Segment Notes	This segment starts the acknowledgment of a transaction set. If there are no errors at the transaction set level, this segment is not returned.
Example	`AK2*837*252525*005010X222A1*~`

Element ID (AK201-AK203)

Table 3.3

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
AK201	R	Transaction Set Identifier Code 837 – Health Care Claim 270 – Eligibility, Coverage or Benefit Inquiry) 276 – Health Care Claim Status Request 278 – Health Care Services Review Information	This is only a list of identifier codes used for 999s generated by the IHCP in response to inbound transactions.
AK202	R	Transaction Set Control Number	This data element contains the value from the ST02 data element from the ST segment of the original file being acknowledged.
AK203	S	Implementation Convention Reference	This is the value in ST03 from the transaction set to which this 999 transaction set is responding.

Error Identification

Segment ID	IK3
Loop	AK2/IK3
Usage	Situational
Segment Notes	This segment reports segment and looping errors in the submitted transaction.
Example	`IK3*NM1*16*2010BA*8~`

Element ID (IK301 – IK304)

Table 3.4

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
IK301	R	Segment ID Code	This data element lists the two or three byte segment ID that contains the error, such as ST, SBR.
IK302	R	Segment Position in Transaction Set	This data element contains the sequential position of the segment ID identified in IK301. This count begins with 1 for the ST segment and increments by 1 from that point.
IK303	S	Loop Identifier Code	This data element identifies the loop where the erroneous segment resides.

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
IK304	R	Segment Syntax Error Code 1 Unrecognized segment ID 2 Unexpected segment 3 Required segment missing 4 Loop occurs over maximum times 5 Segment exceeds maximum use 6 Segment not in defined transaction set 7 Segment not in proper sequence 8 Segment has data element errors I4 Implementation “Not Used” segment present I6 Implementation dependent segment missing I7 Implementation loop occurs under minimum times I8 Implementation segment below minimum use I9 Implementation dependent “Not Used” segment present	This data element describes the type of error encountered.

Segment Context

Segment ID	CTX
Loop	2100-AK2/IK3
Usage	Situational
Segment Notes	This segment is used to identify the data that triggered the situational requirement.
Example	`CTX*SITUATIONAL TRIGGER*SV2*45**1*234~`

Element ID (CTX01 – CTX06)

Table 3.5

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
CTX01	R	Context Identification	
CTX01-1	R	Context Name	Always contains the value “SITUATIONAL TRIGGER”
CTX01-2	N/A	Context Reference	Not Used
CTX02	S	Segment ID Code	Code defining the segment ID of the data segment in error.
CTX03	R	Segment Position in Transaction Set	The numerical count position of this data segment from the start of the transaction set.
CTX04	S	Loop Identifier Code	The loop ID number for this data element in segments LS and LE
CTX05	S	Position in Segment	Code indicating the relative position of the data element or composite data structure in error

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
CTX05-1	R	Element Position in Segment	
CTX05-2	S	Component Data Element Position in Composite	To identify the component data element position within the composite in error
CTX05-3	S	Repeating Data Element Position	To identify the specific repetition of a data element in error
CTX06	S	Reference in Segment	To hold the reference number of a data element and optionally a component data element within a composite
CTX06-1	R	Data Element Reference Number	This element holds the reference number of the simple or composite element at segment level.
CTX06-2	S	Data Element Reference Number	This element holds the reference number of the simple element within a composite.

Business Unit Identifier

Segment ID	CTX
Loop	2100-AK2/IK3
Usage	Situational
Segment Notes	This segment is used to identify the data that triggered the situational requirement.
Example	**CTX***CLM01:123456789**~**

Element ID (CTX01 – CTX06)

Table 3.6

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
CTX01	R	Context Identification	
CTX01-1	R	Context Name	Refer to the IG for valid values
CTX01-2	N/A	Context Reference	Not Used
CTX02	S	Segment ID Code	Not Used
CTX03	R	Segment Position in Transaction Set	Not Used
CTX04	S	Loop Identifier Code	Not Used
CTX05	S	Position in Segment	Not Used
CTX05-1	R	Element Position in Segment	Not Used
CTX05-2	S	Component Data Element Position in Composite	Not Used
CTX05-3	S	Repeating Data Element Position	To identify the specific repetition of a data element in
CTX06	S	Reference in Segment	To hold the reference number of a data element and optionally a component data element within a composite
CTX06-1	R	Data Element Reference Number	This element holds the reference number of the simple or composite element at segment level.
CTX06-2	S	Data Element Reference Number	This element holds the reference number of the simple element within a composite.

Implementation Data Element Note

Segment ID	IK4
Loop	AK2/IK3/IK4
Usage	Situational
Segment Notes	This segment reports data element and composite errors in the submitted transaction.
Example	IK4*9**67*1~

Element ID (IK401-IK405)

Table 3.7

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
IK401	R	Position in Segment	This is a composite data element
IK401-1	R	Element Position in Segment	This data element contains the sequential position of the simple data element or composite data structure. This count begins with 1 for the initial element and increments by 1 from that point.
IK401-2	S	Component Data Element Position in Composite	This data element identifies within the composite structure where the error occurs.
IK401-3	S	Repeating Data Element Position	This data element identifies the specific repetition of a data element that is in error
IK402	S	Data Element Reference Number	Reference number used to locate the data element in the Data Element Dictionary
IK403	R	Implementation Data Element Syntax Error Code 1 Required data element missing 2 Conditional required data element missing 3 Too many data elements 4 Data element too short 5 Data element too long 6 Invalid character in data element 7 Invalid code value 8 Invalid date 9 Invalid time 10 Exclusion condition violated 12 Too many repetitions 13 Too many components I6 Code value not used in Implementation I9 Implementation dependent data element missing I10 Implementation “Not Used” data element present I11 Implementation too few repetitions I12 Implementation pattern match failure I13 Implementation dependent “Not Used” data element present	This data element describes the type of error encountered.
IK404	S	Copy of Bad Data Element	This is a copy of the data element in error

Element Context

Segment ID	CTX
Loop	2100 – AK2/IK3/IK4
Usage	Situational
Segment Notes	This segment is used to identify the data that triggered the situational requirement.
Example	CTX*SITUATIONAL TRIGGER*CLM*43**5:3*C023:1325~

Element ID (CTX01-CTX06)

Table 3.8

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
CTX01	R	Context Identification	
CTX01-1	R	Context Name	Always contains the value “SITUATIONAL TRIGGER”
CTX01-2	N/A	Context Reference	Not Used
CTX02	R	Segment ID Code	Code defining the segment ID of the data segment in error.
CTX03	R	Segment Position in Transaction Set	The numerical count position of this data segment from the start of the transaction set.
CTX04	S	Loop Identifier Code	The loop ID number for this data element in segments LS and LE
CTX05	S	Position in Segment	Code indicating the relative position of the data element or composite data structure in error
CTX05-1	R	Element Position in Segment	
CTX05-2	S	Component Data Element Position in Composite	
CTX05-3	S	Repeating Data Element Position	To identify the specific repetition of a data element in error
CTX06	S	Reference in Segment	
CTX06-1	R	Data Element Reference Number	
CTX06-2	S	Data Element Reference Number	

Transaction Set Response Trailer

Segment ID	IK5
Loop	2000 – AK2
Usage	Required
Segment Notes	This segment acknowledges the acceptance or rejection of a transaction and report errors.
Example	CTX*SITUATIONAL TRIGGER*CLM*43**5:3*C023:1325~

Element ID (IK501-IK506)

Table 3.9

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
IK501	R	Transaction Set Acknowledgment Code **A – Accepted** E – Accepted, but errors were noted **R – Rejected**	
IK502	S	Transaction Set Syntax Error Code 1 Transaction set not supported 2 Transaction set trailer missing 3 Transaction set control number in header and trailer do not match 4 Number of included segments does not match actual count 5 One or more segments in error 6 Missing or invalid transaction set identifier 7 Missing or invalid transaction set control number 18 Transaction set not in functional group 19 Invalid transaction set implementation convention reference I5 Implementation One or More Segments in Error I6 Implementation convention not supported	Code indicating implementation error found based on the syntax editing of a transaction set
IK503	S	Transaction Set Syntax Error Code	Code indicating implementation error found based on the syntax editing of a transaction set
IK504	S	Transaction Set Syntax Error Code	Code indicating implementation error found based on the syntax editing of a transaction set
IK505	S	Transaction Set Syntax Error Code	Code indicating implementation error found based on the syntax editing of a transaction set
IK506	S	Transaction Set Syntax Error Code	Code indicating implementation error found based on the syntax editing of a transaction set

Functional Group Response Trailer

Segment ID	AK9
Loop	N/A
Usage	Required
Segment Notes	This segment acknowledges the acceptance or rejection of a functional group and report the number of transaction sets originally included, received and accepted.
Example	AK9*R*1*1*0~

Element ID (AK901-AK909)

Table 3.10

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
AK901	R	Functional Group Acknowledgment Code **A** – Accepted E – Accepted, but errors were noted **P** – Partially Accepted, at least one transaction set was rejected **R** – Rejected	
AK902	R	Number of Transaction Sets Included	This data element contains the value from the GE01 data element from the GE segment of the original file being acknowledged.
AK903	R	Number of Received Transaction Sets	
AK904	R	Number of Accepted Transaction Sets	
AK905	S	Functional Group Syntax Error Code 1 Functional group not supported 2 Functional group version not supported 3 Functional group trailer missing 4 Group control number in the functional group header and trailer do not agree 5 Number of included transaction sets does not match actual count 6 Group control number violates syntax 19 Functional group control number not unique with interchange	Code indicating error found based on the syntax editing of the functional group header and/or trailer
AK906	S	Functional Group Syntax Error Code	Code indicating error found based on the syntax editing of the functional group header and/or trailer
AK907	S	Functional Group Syntax Error Code	Code indicating error found based on the syntax editing of the functional group header and/or trailer
AK908	S	Functional Group Syntax Error Code	Code indicating error found based on the syntax editing of the functional group header and/or trailer
AK909	S	Functional Group Syntax Error Code	Code indicating error found based on the syntax editing of the functional group header and/or trailer

Transaction Set Trailer

Segment ID	SE
Loop	N/A
Usage	Required
Segment Notes	
Example	SE*123*54321~

Element ID (SE01-SE02)

Table 3.10

Element ID	Usage	Guide Description/Valid Values	Notes/Comments
SE01	R	Number of Included Segments	
SE02	R	Transaction Set Control Number	

4 ADDITIONAL INFORMATION

4.1 Business Scenarios

Not applicable

4.2 Payer Specific Business Rules and Limitations

All references to the IHCP in this Companion Guide refer to *Indiana Health Coverage Programs*.

4.2.1 Interchange Control Header

4.2.1.1 Interchange Sender ID (ISA06) – Value is IHCP.

4.2.1.2 Interchange Receiver ID (ISA08) – This is the four-byte sender ID assigned by the IHCP.

4.2.2 Functional Group Header

4.2.2.1 Application Sender Code (GS02) – Value is IHCP.

4.2.2.2 Application Receiver's Code (GS03) – This is the four-byte sender ID assigned by the IHCP

4.3 Other Resources

This section lists other references or resources.

Gainwell EDI Solutions
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Indiana Medicaid for Providers website
https://www.in.gov/medicaid/providers

Electronic Data Interchange (EDI) Solutions
https://www.in.gov/medicaid/providers/697.htm

Provider Reference Modules
https://www.in.gov/medicaid/providers/810.htm

IHCP News Items, Bulletins, and Banner pages
https://www.in.gov/medicaid/providers/737.htm

5 CHANGE SUMMARY

This section describes the differences between the current Companion Guide and previous guide(s).

Version	CO	CO Name	Revision Date	Revision Status	Revision Page Numbers / Change / Update Details	Completed by
2.0			Jan 2013	Implemented	CAQH CORE format	Systems
2.1	2225	ACA Section 2001: MAGI Phase II	Jan 2014	Implemented	CO 2225 update	Systems

*Core*MMIS Change Summary

Version	DDI CO	CO Name	Revision Date	Revision Status	Revision Page Numbers / Change / Update Details	Completed by
1.1			February 2017	Implemented	Indiana *Core*MMIS Implementation	Systems
1.2			March 2017	Implemented	Updates to TA1 error codes 18, 20 and 24	Systems
1.3			April 2017	Implemented	Updated throughout document Hewlett Packard Enterprise (HPE) to DXC Technology	Systems
1.4			March 2021	Implemented	Removed references to DXC Technology	Systems